

State Library of North Carolina

Digital Preservation in State Government

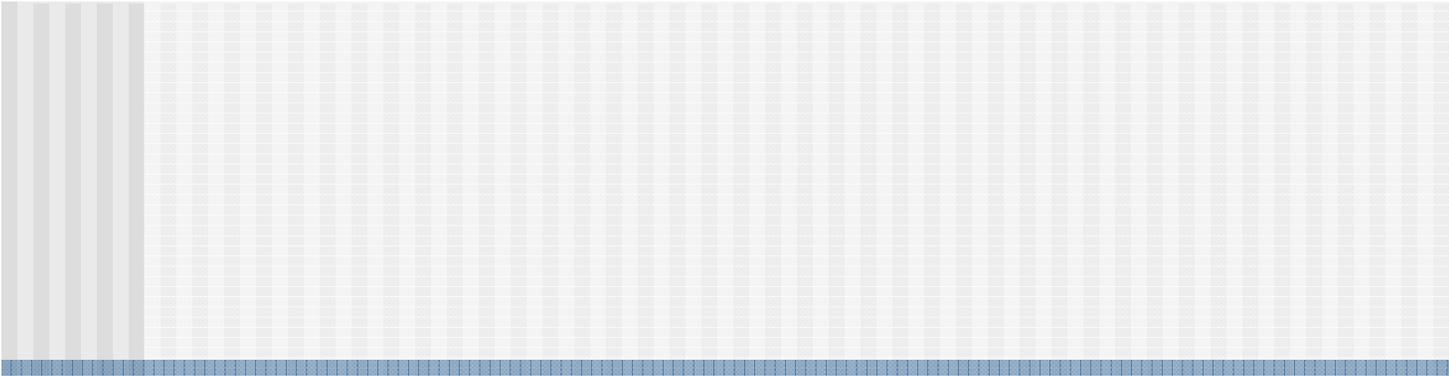
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NCLA Government Resources Section Workshop

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Presentation Outline

- I. Update on *Access to State Government Information Initiative*
- II. Department of Cultural Resources Digital Preservation Program
- III. Best Practices Exchange Report
- IV. Depository Libraries Survey Report



Access to State Government Information Initiative

In the Beginning...

- NCLA Documents Section - Fall Workshop, 2002
- State Library Documents Branch introduced the *Access to State Government Information Initiative*, a 3-year project funded by an LSTA grant as a means of addressing the challenges of providing long-term, permanent public access to state information in all formats, including digital.
 - § Rapidly evolving information technologies
 - § Digital Publishing in state government
 - § Desktop access
 - § State Budget Cuts

21st Century...

Born Digital is Born!

- State agencies begin disseminating information in digital formats only – no printed equivalent as the result of...
 - Readily accessible and easily used information technologies
 - State government budget cuts
 - Reduced agency staff
 - Legislatively mandated shift to digital only formats for some agencies
 - Perceived cost savings (short-term)

But was it all good???

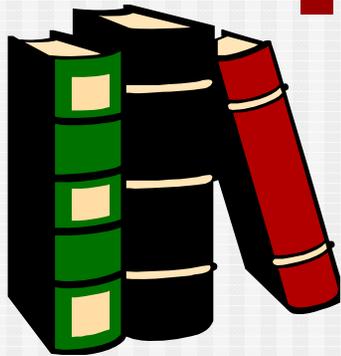
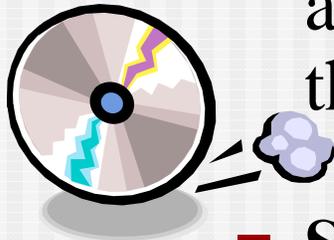
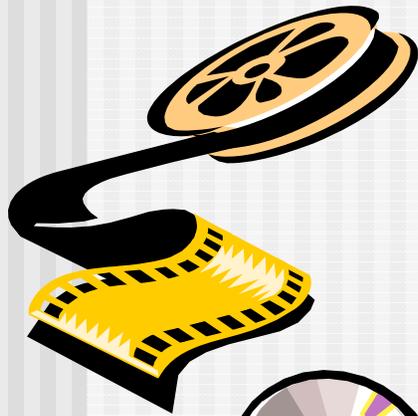


Hmmm.....

Let's see...

Ridley Kessler, infamous documents librarian
(UNC-Chapel Hill) ponders the situation...

New Challenges Abound...



- **G.S. 125-11** (Depository System) is still in effect but does not specifically address digital information formats and require agencies to submit tangible equivalents to the Clearinghouse
- **State Publications Clearinghouse** is really no longer the “central distribution center” for all state documents – just those in tangible formats

So, where exactly is the information?

- Does it still exist?
- Who knows?
- How do we find out?
- Is it on the Web?
- Where is it on the Web?
- Will it be there tomorrow?
- Can we print it out?
- Can we still get it in print?



Additional Challenges...

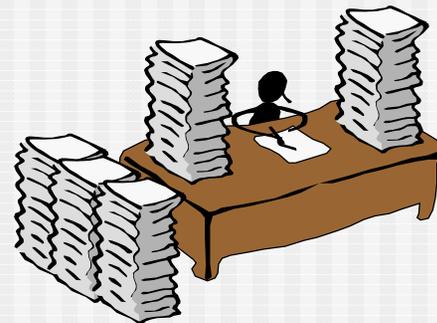
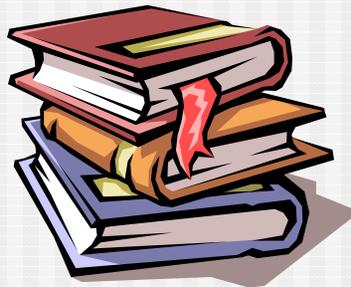
- **No state government policy** or regulations exist for print vs. digital production and dissemination of state information
- **No centralized point of control** – each agency or institution makes its own decision about publication formats and dissemination
- **No official standards** have been adopted for digital formats and publishing in state government
- **No state government policies or standards** exist to ensure the preservation and continued access to historical born digital state information

How would we meet these Challenges?

Initial Approach & Considerations 1999-2000



- Facilitate access to digital information (FIND NC; URLs added to catalog records)
- Require agencies to continue printing for State Library and Depositories
- Print out born digital publications for permanent depository and distribution to depository libraries



Access to State Government Information Initiative



2001 – Revised Approach

- Step back and examine the big picture
 - Identify the issues involved in producing, accessing, and preserving born digital information
 - Determine the status/trends in state government publishing
 - Assess current systems within Archives & Library to determine the viability of incorporating digital state information into established programs
- Include stakeholders in solutions development

Access to State Government Information Initiative

2001 – Revised Approach

- Assess, test & implement solutions for facilitating permanent public access that are:
 - acceptable and relevant to stakeholders' priorities
 - feasible for implementation in state government,
 - sustainable over time

- Request LSTA grant funding for the *Access to State Government Information Initiative*, a 3-year project to address challenges of providing permanent public access to state information in all formats, including digital.

Access to State Government Information Initiative

Phase 1: 2002-2003

- Conducted Agency Survey
- Conducted research on digital information/preservation

Published Research Results in 2003- White Paper

- Agency publishing increasingly decentralized
- No one point of control – few format standards
- 93% of agencies produce born digital publications
- 22% claim to produce at least 90% of publications in digital formats only – predict even more
- 51% of all state information is in digital formats only

Access to State Government Information Initiative

Published Research Results in 2003- White Paper

- Historical digital information not always available – replaced or removed from Internet
- Limited resources within state government to make needed infrastructure changes to ensure permanent public access
- Digital and Print versions not always equivalent
- Blurred distinction between
 - “publication” and “public record”
 - “born digital” and “digitized” information

Access to State Government Information Initiative

Phase 2: 2003-2004

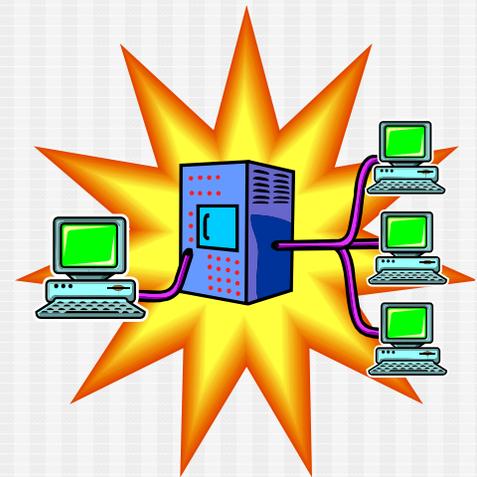
- Solutions Work Group of stakeholders (librarians, archivists, IT, records managers, agency staff)
- **Recommended Plan of Action:**
 - State Library and Archives work together to broaden the interpretation of existing statutes to include publications and records in digital formats;
 - Dept. of Cultural Resources lead in educating state government about digital preservation and permanent public access;
 - Involve stakeholders in all phases of program development and implementation.



Access to State Government Information Initiative

Phase 3: 2004-2005

- Solutions testing and collaborative research
 - Web harvesting (tools, processes)
 - Repositories (Software, systems)
 - Automated selection tools (OCLC)
 - Collection of digital materials
- Metadata Schema and Guidelines
- Workflow Issues
- Resource Needs
- Library of Congress NDIIPP Advisory Group



Access to State Government Information Initiative

Phase 4: 2005-2006

- Solutions testing and collaborative research
- Depository Library Survey – Incorporating digital information into system
- Digital Preservation Policy Framework developed and approved by DCR Management
- Budget Expansion Request for State Funding
- Hosted first Digital Preservation in State Government: Best Practices Exchange



Dept. of Cultural Resources
Digital Preservation Program

Existing Digital Preservation Responsibilities

DCR Responsibility

- Official archival agency for North Carolina state government information
 - custodian of archival records (§121 and §132)
 - permanent depository for publications (§125)
- Mandate exists for DCR to preserve and maintain print materials and digital assets (born digital or digitized) of state government for public access

ArcLib Taskforce (DCR)

State Library and State Archives Staff

- **2004:** Taskforce created to address collecting, storing, and preserving digital state information (publications and public records) for permanent public access
- **2005** - Drafted the Digital Preservation Policy Framework to support a comprehensive digital preservation program in state government
- **2006** - Framework presented to and accepted by the Secretary as the basis for the Digital Preservation Program

What is Digital Preservation?

DCR Working Definition

Digital preservation encompasses a series of managed activities designed to:

- Extend the usable life of machine readable computer files
- Protect them from media failure, physical loss, or obsolescence
- Ensure continued access to information in digital formats (digitized or born digital)



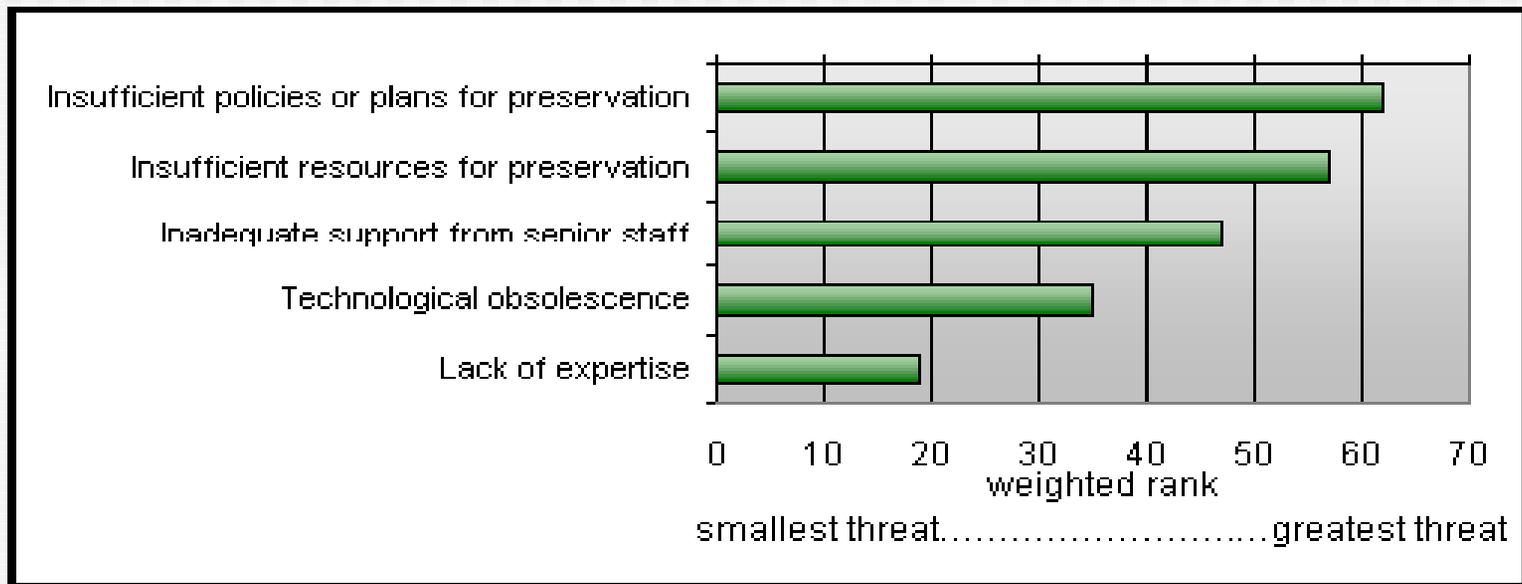
What is Digital Preservation?

Digital Preservation is a process that

- Requires the use of the best available technology as well as carefully thought out administrative policies, standards, and procedures.
- Requires active management and cannot be done once and set aside in a static state
- Requires investment in the institution's infrastructure and the digital assets to be preserved

Threats to Digital Preservation

Insufficient policies pose the greatest threat to the preservation of digital assets



Cornell Survey of Institutional Readiness, 2003-2005

Kenney, A., & Buckley, E. (2005, August 15). Developing Digital Preservation Programs: the Cornell Survey of Institutional Readiness, 2003-2005. *RLG DigiNews*. 9, 4, Feature Article 1. Retrieved August 19, 2005 from http://www.rlg.org/en/page.php?Page_ID=20744#article0

Digital Preservation Policy Framework

Purpose

- Formalizes DCR's commitment to the long-term, permanent preservation of digital state government assets
- Formalizes the cooperation between the State Library, State Archives, DCR IT, and other state agencies
- Sets the framework for the development of a departmental digital preservation policy and program initiative based on clearly stated mandates and shared principles

Digital Preservation Policy Framework

Objectives

- Brings together complementary interests within DCR (State Library and State Archives, IT)
- Establishes criteria for forging a departmental program for preserving the state's digital intellectual and cultural heritage
- Facilitates the incorporation of digital information into records management, archival selection and appraisal processes, and the permanent depository of state publications
- Integrates digital preservation into existing DCR mandated services and programs with minimal effect on existing services

Digital Preservation Policy Framework

Roles and Responsibilities

- State Library and State Archives as curators of print and digital assets will lead the digital preservation program planning and manage the digital preservation process (structure, workflows, resources)
- DCR Management will provide appropriate managerial and financial commitment for the program
- State Agencies and Local Governments: Content creators will be collaborators in the DCR program assisting in the lifecycle management of digital information

Digital Preservation Policy Framework

Roles and Responsibilities

- DCR IT will
 - Work with the State Library and State Archives to select and implement technology components that best support the digital preservation program objectives
 - Facilitate the collection and dissemination of digital information into and out of the secure DCR network
 - Serve as liaison with ITS and other state agency CIOs
 - Ensure system compliance with state approved IT standards and practices and compatibility within DCR, with other state agencies, and ITS

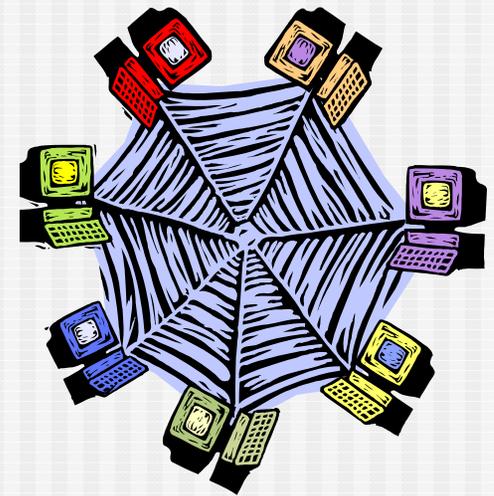
Digital Preservation Program Scope

- Policies and Standards
- Management of Digital Preservation Activities
- Technology
- Includes the preservation of :
 - Born- digital assets produced by state agencies
 - Born- digital assets produced by local agencies
 - Digitized (scanned) assets produced by state agencies

First Project under the Digital Preservation Program

Website Archives

- Development of Website capture policy, standard, and procedures
- Contract with the Internet Archive to host North Carolina State Government Website Archive
- Public Interface and access available soon through the State Library and the State Archives

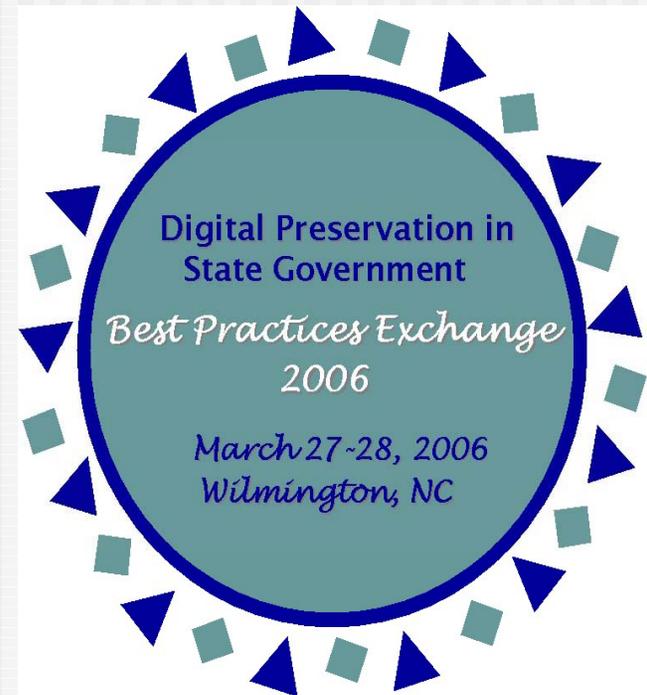




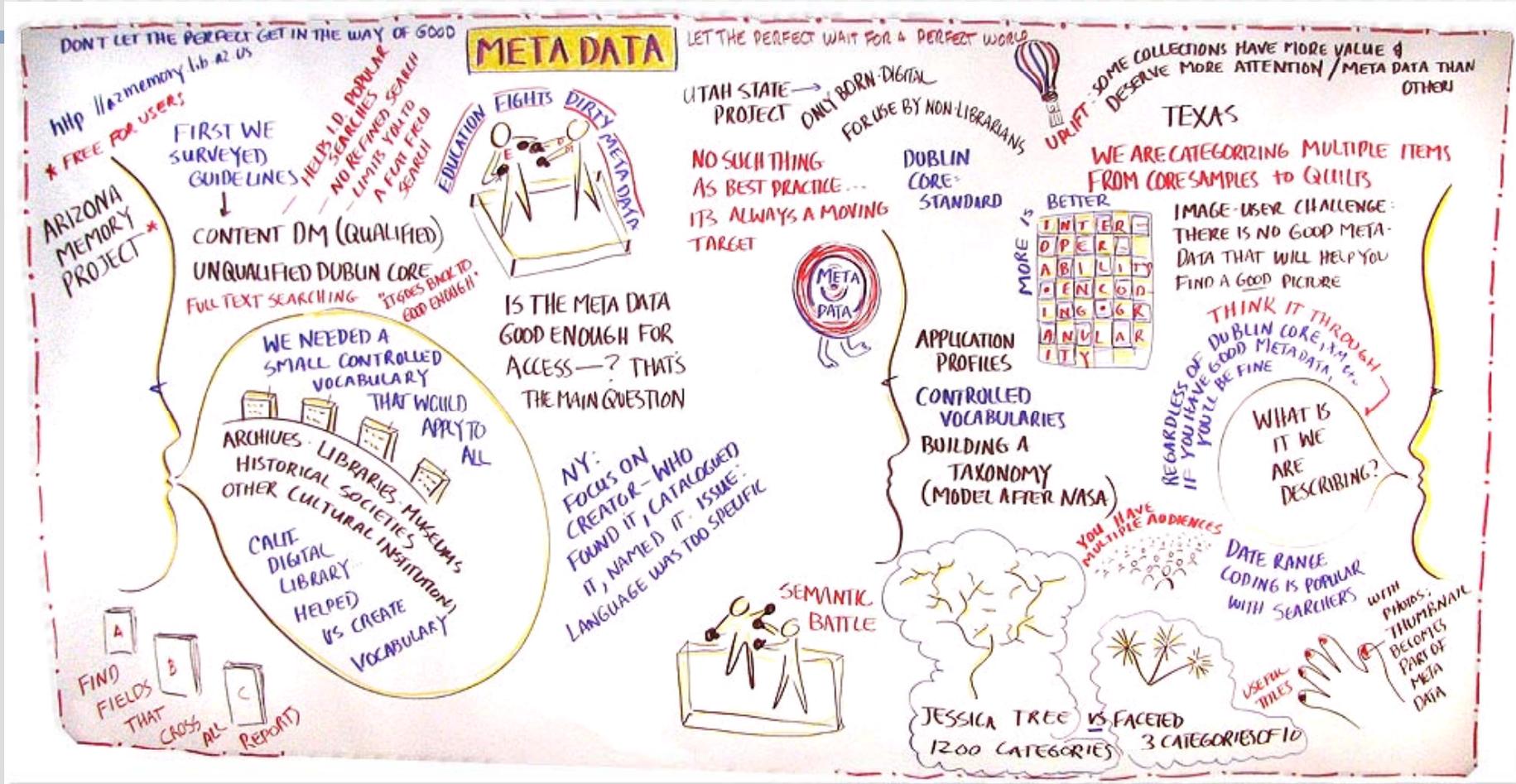
Digital Preservation in State
Government:
Best Practices Exchange 2006

Best Practices Exchange

- Librarians, archivists, records managers, and other information professionals shared experiences
- Small exchange sessions: Nine topic areas related to managing and preserving digital state government information for public access
- 116 attendees, representing 30 states, federal agencies and private industry.



Visual Journal



Conference Themes

1. Work for “good enough” solutions right now, but strive to get better
 - If you don't capture it now, you can't provide access to it later...
 - “Don't let the perfect prevent the possible.”
 - Build scalable solutions to handle volume
2. Collaboration is vital to digital preservation
 - IT departments
 - Content Creators
 - Within and across institutions
 - Outside of the library/archives community

Conference Themes

(continued)

3. Policies, standards, and other documentation are critical for success (Legislative mandates and funding are particularly helpful)
4. Content creators need to provide buy-in for the digital preservation projects to be successful (Education of content creators first crucial step)
5. Good solutions need to be flexible, customizable, and interoperable among technical and organizational infrastructures.

Impact of Digital Information on State Depository Systems

Questions Raised Regarding State Depository Systems

■ Content Creator's Role:

- Will state agencies still be responsible for sending publications to the Depository System?
- How do you enforce their compliance?
- Should state agencies create basic metadata for their publications and, if so, how much?



Impact of Digital Information on State Depository Systems

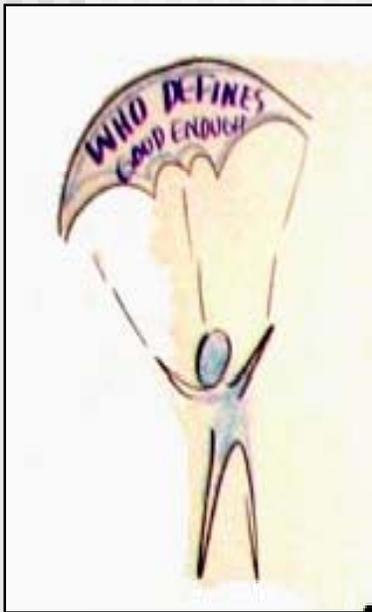
Questions Raised Regarding State Depository Systems

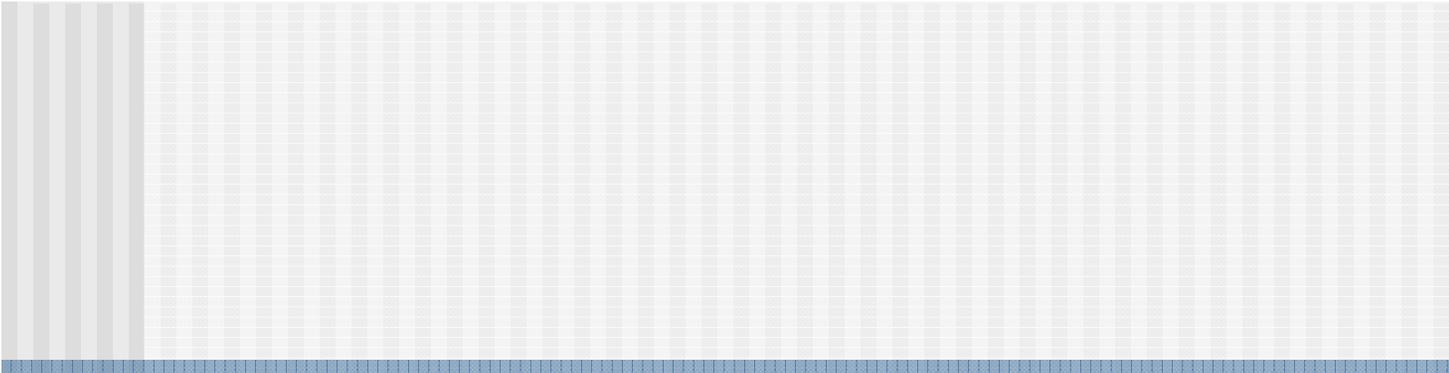
- Depository Libraries Role:
 - Do Depository Libraries feel a sense of ownership for government documents in digital form?
 - What responsibilities do Depository Libraries have for the maintenance/back of up of a Digital Repository?
 - What incentives should the Depository System offer to encourage the sharing of responsibilities?
 - How should cataloging be handled? Should depository libraries contribute cataloging? Should records be available to all libraries or just Depository Libraries

Best Practices Exchange Website

<http://statelibrary.dcr.state.nc.us/digidocs/bestpractices>

- Visual Journal from Eileen Clegg
- Abstracts from contributors
- Summaries of each exchange session topic area





State Depository Libraries Survey

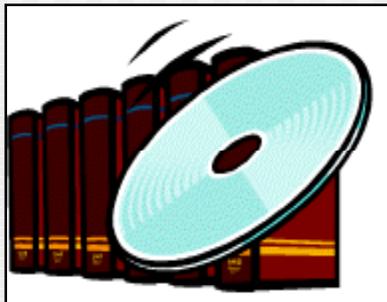
State Depository Libraries Survey

- Purpose:
 - Understand needs of Depository Libraries
 - Evaluate current Clearinghouse services
 - Plan future Clearinghouse services
 - Guide efforts to manage digital state publications
- Conducted survey in Fall of 2005
- Surveyed 37 library staff at 24 Depository Libraries



Survey Findings: Successes

- 84% indicated that being a state depository library added value to their collection and services
- The most valuable services provided by the Clearinghouse are:
 - distribution of publications
 - cataloging publications
 - customized shipping lists
 - maintaining a permanent depository for all state publications.



Survey Findings: Shortcomings

- Does not distribute all state government publications
- Does not identify, track, catalog or distribute digital publications
- Needs to be more proactive with State Agencies to represent the needs of the Depository Libraries
- There is no orientation for new Depository Library staff

Survey Findings:

Access

- 61% have difficulty locating state government information online
- 3/4 have created online reference guides to digital state government information
- Nearly half prefer to access digital state government information via the Library's Catalog
- 43% would not want to receive microfiche through the Clearinghouse if that information was readily available and accessible online

Survey Findings: Vision for the Future

- 83% felt the Clearinghouse should
 - Develop and maintain an accessible online digital repository
 - Catalog digital publications like print publications

- Nearly 90% could possibly participate in a Consortium of Depository Libraries to:
 - Develop criteria for selecting/identifying digital publications
 - Identify track digital resources for a specific agency or topic

- 24% described their vision of the Clearinghouse as:
“Identifying, cataloging and providing reliable access to digital state publications”

Next Steps for N.C. Clearinghouse

- N.C. State Depository Libraries Meeting

- Draft Plan of Action



- Immediate Goals for Clearinghouse

- Work with stakeholders to incorporate digital publications into Clearinghouse
- Facilitate access to online state government information
- Improve communication with Depository Libraries